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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	5359-5.2
First Inventor	Howard V. Perlmutter
Title	Method for Predicting and Improving The Likelihood of Success of Organization Interactions
Express Mail Label No.	EK206862313US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 12]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 112]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Exp. Mail Cert. Form PTO-2038

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 60 , 249,092

Prior application information:

Examiner

Group Art Unit.

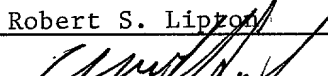
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label from)

or ☒ Correspondence address below

Name	Robert S. Lipton				
Address	LIPTON, WEINBERGER & HUSICK 201 North Jackson Street, P.O. Box 934				
City	Media	State	PA	Zip Code	19063
Country	US	Telephone	610-566-6000	Fax	566-3660

Name (Print/Type)	Robert S. Lipton	Registration No. (Attorney/Agent)	25,403
Signature		Date	11/16/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	5359-5.2
Filing Date	November 16, 2001
First Named Inventor	Howard V. Perlmutter
Examiner Name	
Group Art Unit	
Attorney Docket No.	5359-5.2

TOTAL AMOUNT OF PAYMENT (\$)

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☒ **Payment Enclosed:**
- ☐ Check ☒ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 370

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Name (Print/Type)	Robert S. Lipton	Registration No. (Attorney/Agent)	25,403	Telephone	610-566-6000
Signature		Date	11/16/2001		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE:

APPLICATION OF : Howard V. Perlmutter  
TITLE : METHOD FOR PREDICTING AND  
IMPROVING THE LIKELIHOOD OF  
SUCCESS OF ORGANIZATION  
INTERACTIONS  
SERIAL NO. : Not Yet Assigned  
FILING DATE : November 16, 2001  
ATTORNEY DOCKET NO. : 5359-5.2

TO: Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

**REQUEST FOR FILING DATE**  
**(EXPRESS MAIL REFUSED BY U.S. POSTAL SERVICE)**

Applicant requests that the above-captioned application, which is enclosed herewith  
be afforded the filing date of:

**November 16, 2001**

The undersigned filed the above-captioned case with the U.S. Postal Service Office  
located at Philadelphia International Airport at 20:43 Hours (8:43 p.m.) on Friday,  
November 16, 2001. A photocopy of the "Customer Copy" of the U.S. Postal Service  
Express Mail label (Customer Copy) which serves as a receipt bearing the U.S. Postal  
Service stamp showing the November 16, 2001 date is enclosed.

The following Monday, November 19, 2001, the Express Mail package containing  
the above-captioned application was returned to our office's Post Office Box at Media,

Pennsylvania. The Express Mail package with the original Express Mail Label attached thereto is enclosed. The package also bears the original notice "Return To Sender". A copy of the original U.S. Postal Service Express Mail Label is also enclosed showing that it was deposited on November 16, 2001 but was picked up by Gail Lipton of our office on Monday, November 19, 2001.

Accordingly, in accordance with the U.S. Patent and Trademark Office Notice relating to "United States Postal Service interruptions relating to Express Mail Service" applicant hereby requests that the above-captioned PCT Application be afforded the filing date of November 16, 2001. In accordance with the Notice the applicant is enclosing with this request the case in its original U.S. Postal Service Express Mail package which is being mailed to the U.S. Postal Service First Class Mail.

This statement is being accompanied by:

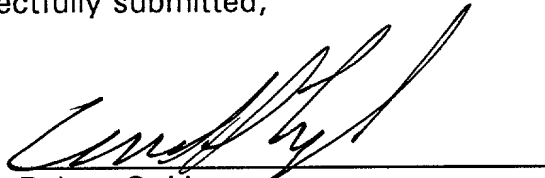
1. A photocopy of the U.S. Postal Service Express Mail Mailing Label (Customer Copy) showing the original U.S. Postal Service stamp;
2. A photocopy of the U.S. Postal Service Express Mail Label (Mailing Label Copy) more clearly showing the handwritten information set forth in the "origin" box as well as information showing that the Express Mail package was picked up by Gail Lipton on November 19, 2001;
3. The Express Mail package (including the application) which was deposited with the U.S. Postal Service on November 16, 2001 having the U.S. Postal Service Express Mail Label, (Addressee Copy) attached thereto as well as the original "Return to Sender" Notice; and

4. A self-addressed postcard which the applicant requests that the Patent Office date stamp and deposit with the U.S. Postal Service for return to us.

Applicant again respectfully requests that the Office afford this case the November 16, 2001 filing date.

Respectfully submitted,

Date: November 20, 2001

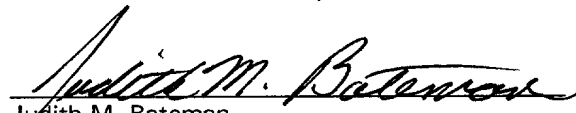


Robert S. Lipton  
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(610) 566-6000

**CERTIFICATE OF MAILING (37 CFR 1.8(a))**

I hereby certify that this paper, along with any paper or fee indicated as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

November 20, 2001  
Date



Judith M. Bateman

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE:

APPLICATION OF : Howard V. Perlmutter

TITLE : METHOD FOR PREDICTING AND  
IMPROVING THE LIKELIHOOD OF  
SUCCESS OF ORGANIZATION  
INTERACTIONS

SERIAL NO. : Not Yet Assigned

FILING DATE : November 16, 2001

ATTORNEY DOCKET NO. : 5359-5.2

TO: Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

EXPRESS MAIL CERTIFICATE

Express Mail Mailing Label No.: EK206862313US

Date of Deposit: November 16, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box PATENT APPLICATION, Washington, D.C. 20231.

  
Robert S. Lipton

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
APPLICATION FOR LETTERS PATENT  
OF  
HOWARD V. PERLMUTTER, Ph.D  
FOR  
METHOD FOR PREDICTING AND IMPROVING THE LIKELIHOOD OF  
SUCCESS OF ORGANIZATION INTERACTIONS

Send Correspondence to:

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